



A/N
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of Artavanis-Tsakonas et al. : Attn: Application Division,
Special Handling Unit
Serial No.: 08/083,590 :
Filed: June 25, 1993 : Group Art Unit:
For: THERAPEUTIC AND DIAGNOSTIC :
METHODS AND COMPOSITIONS :
BASED ON NOTCH PROTEINS AND :
NUCLEIC ACIDS : Pennie & Edmonds
Attorney Docket No.: 7326-015 : 1155 Avenue of the Americas
New York, New York 10036

**TRANSMITTAL OF DECLARATION AFTER FILING
DATE PURSUANT TO 37 C.F.R. § 1.53(d)**

Honorable Commissioner of Patents and Trademarks
Washington, D.C. 20231

S I R :

Applicants submit herewith a Declaration and Power of Attorney for the application executed by inventors Spyridon Artavanis-Tsakonas, Panayiotis Zagouras and Christine Marie Blaumueller on July 20, 1993, and inventor Richard Grant Fehon on July 27, 1993.

In addition, Applicants submit herewith an Assignment of the Application to YALE UNIVERSITY. Said Assignee qualifies as a small entity under 37 C.F.R. 1.9(f) and 1.27(d). A Verified Statement Claiming Small Entity Status [37 C.F.R. 1.9(f) and 1.27(d)] is submitted concurrently herewith.

P 30013 09/09/93 08083590 16-1150 030 205 65.00CH
EXPRESS MAIL CERTIFICATION

"Express Mail" label No. TB 389 222 812 US Date of Deposit August 13, 1993
I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231.

ISMAEL MALDONADO

Ismael Maldonado
Signature of person mailing paper or fee

PENY-201879.1

The fee required to be filed with the accompanying Declaration under 37 C.F.R. § 1.16(e) has been estimated to be \$65.00 (small entity). Please charge the required fee to Pennie & Edmonds Deposit Account No. 16-1150. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

PENNIE & EDMONDS
Attorneys for Applicants

Date: August 13, 1993
(212) 790-9090

S. Leslie Misrock
S. Leslie Misrock
18,872
(Reg. No.)

by Adriane Antler
Reg. No. 32,605

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



In re: ☒ Application of: Artavanis-Tsakonas et al.
☐ Patent of:

☒ Serial No.: 08/083,590
☒ Patent No.:

Group Art Unit:

☒ Filed: June 25, 1993
☐ Issued:

Examiner: To be assigned

For: THERAPEUTIC AND DIAGNOSTIC
METHODS AND COMPOSITIONS
BASED ON NOTCH PROTEINS AND
NUCLEIC ACIDS

Attorney Docket No.: 7326-015

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR 1.9(f) and 1.27(d)] - Nonprofit Organization

Honorable Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of organization Yale University
Address of organization 451 College Street
New Haven, Connecticut 06520

Type of organization

- ☒ University or other institution of higher education
☐ Tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3))
☐ Nonprofit scientific or educational under statute of state of the United States of America
(Name of state _____)
(Citation of statute _____)
☐ Would qualify as tax exempt under Internal Revenue Service Code (26 USC 501(a) and 501(c)(3)) if located in the United States of America.
☐ Would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America
(Name of state _____)
(Citation of statute _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code with regard to the invention entitled THERAPEUTIC AND DIAGNOSTIC METHODS AND COMPOSITIONS BASED ON NOTCH PROTEINS AND NUCLEIC ACIDS by inventor(s) Spyridon Artavanis-Tsakonas et al., described in

- ☐ the specification filed herewith
☒ application serial no. 08/083,590 filed June 25, 1993
☐ patent no. issued

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization identified above and/or there is an obligation under contract or law by the inventor(s) to convey rights to the nonprofit organization identified above with regard to the invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

FULL NAME _____
ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR 1.28 (b)]

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and patent issuing thereon, or any patent to which this verified statement is directed.

Send correspondence to: PENNIE & EDMONDS Direct Telephone calls to:
1155 Avenue of the Americas PENNIE & EDMONDS
New York, N.Y. 10036-2711 (212) 790-9090

Name of person signing Robert K. Bickerton, Ph.D.
Title of person other than owner Director, Office of Cooperative Research
Address of person signing 246 Church Street
New Haven, Connecticut 06510
Signature Robert K. Bickerton Date 7/19/93

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities.

DECLARATION AND POWER OF ATTORNEY



As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below at 201 et seq. underneath my name.

I believe I am the original, first and sole inventor if only one name is listed at 201 below, or an original, first and joint inventor if plural names are listed at 201 et seq. below, of the subject matter which is claimed and for which a patent is sought on the invention entitled

THERAPEUTIC AND DIAGNOSTIC METHODS AND COMPOSITIONS BASED ON NOTCH PROTEINS AND NUCLEIC ACIDS

the specification of which:

☐ is attached hereto

☒ was filed in the United States on June 25, 1993 as Application Serial No. 08/083,590 (for declaration not accompanying application) with amendment(s) filed on _____ (if applicable)

☐ was filed as PCT international application Serial No. _____ on _____ and was amended under PCT Article 19 on _____ (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119/§172 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED PRIOR TO THE FILING DATE OF THE APPLICATION			
APPLICATION NUMBER	COUNTRY	DATE OF FILING (day, month, year)	PRIORITY CLAIMED UNDER 35 U.S.C. 119/172
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>
			YES <input type="checkbox"/> NO <input type="checkbox"/>

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

APPLICATION SERIAL NO.	FILING DATE	STATUS		
		PATENTED	PENDING	ABANDONED
07/955,012	September 30, 1992		X	
07/879,038	April 30, 1992		X	

POWER OF ATTORNEY: As a named inventor, I hereby appoint S. Leslie Misrock (Reg. No. 18872), Harry C. Jones, III (Reg. No. 20280), Benj A. Terzian (Reg. No. 20060), Gerald J. Flintoft (Reg. No. 20823), David Weild, III (Reg. No. 21094), Jonathan A. Marshall (Reg. No. 24614), Barry D. Rein (Reg. No. 23411), Stanton T. Lawrence, III (Reg. No. 25736), Isaac Jarkovsky (Reg. No. 22713), Joseph V. Colaianni (Reg. No. 20019), Charles E. McKenney (Reg. No. 22795), Philip T. Shannon (Reg. No. 24278), Francis E. Morris (Reg. No. 24615), Charles E. Miller (Reg. No. 24576), Gidon D. Stern (Reg. No. 27469), John J. Lauter, Jr. (Reg. No. 27814), Brian M. Poissant (Reg. No. 28462), Brian D. Coggio (Reg. No. 27624), Rory J. Radding (Reg. No. 28749), Stephen J. Harbulak (Reg. No. 29166), Donald J. Goodell (Reg. No. 19266), James N. Palik (Reg. No. 25510), Thomas E. Fricbel (Reg. No. 29258), Laura A. Coruzzi (Reg. No. 30742), Jennifer Gordon (Reg. No. 30753), Jon R. Stark (Reg. No. 30111), Allan A. Fanucci (Reg. No. 30256), Geraldine F. Baldwin (Reg. No. 31232), and Victor N. Balancia (Reg. No. 31231), whose address is Penny & Edmonds, 1155 Avenue of the Americas, New York, New York 10036, and each of them, my attorneys, to prosecute this application, and to transact all business in the Patent and Trademark Office connected therewith.

SEND CORRESPONDENCE TO: PENNIE & EDMONDS 1155 AVENUE OF THE AMERICAS NEW YORK, N.Y. 10036-2711				DIRECT TELEPHONE CALLS TO: PENNIE & EDMONDS (212) 790-9090	
201	FULL NAME OF INVENTOR	LAST NAME ARTAVANIS-TSAKONAS	FIRST NAME SPYRIDON	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY HAMDEN	STATE OR FOREIGN COUNTRY CONNECTICUT	COUNTRY OF CITIZENSHIP UNITED STATES	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS 192 RIDGEWOOD AVENUE	CITY HAMDEN	STATE OR COUNTRY CONNECTICUT	ZIP CODE 06517
202	FULL NAME OF INVENTOR	LAST NAME FEHON	FIRST NAME RICHARD	MIDDLE NAME GRANT	
	RESIDENCE & CITIZENSHIP	CITY DURHAM	STATE OR FOREIGN COUNTRY NORTH CAROLINA	COUNTRY OF CITIZENSHIP UNITED STATES	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS 2714 DOGWOOD ROAD	CITY DURHAM	STATE OR COUNTRY NORTH CAROLINA	ZIP CODE 27705
203	FULL NAME OF INVENTOR	LAST NAME ZAGOURAS	FIRST NAME PANAYIOTIS	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY NEW HAVEN	STATE OR FOREIGN COUNTRY CONNECTICUT	COUNTRY OF CITIZENSHIP GREECE	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS 595 ORANGE STREET	CITY NEW HAVEN	STATE OR COUNTRY CONNECTICUT	ZIP CODE 06511
204	FULL NAME OF INVENTOR	LAST NAME BLAUMUELLER	FIRST NAME CHRISTINE	MIDDLE NAME MARIE	
	RESIDENCE & CITIZENSHIP	CITY NEW HAVEN	STATE OR FOREIGN COUNTRY CONNECTICUT	COUNTRY OF CITIZENSHIP UNITED STATES	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS DEPT. OF BIOLOGY-KBT YALE UNIVERSITY 219 PROSPECT STREET	CITY NEW HAVEN	STATE OR COUNTRY CONNECTICUT	ZIP CODE 06511
205	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE OR COUNTRY	ZIP CODE
206	FULL NAME OF INVENTOR	LAST NAME	FIRST NAME	MIDDLE NAME	
	RESIDENCE & CITIZENSHIP	CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
	POST OFFICE ADDRESS	POST OFFICE ADDRESS	CITY	STATE OR COUNTRY	ZIP CODE

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

SIGNATURE OF INVENTOR 201	SIGNATURE OF INVENTOR 202	SIGNATURE OF INVENTOR 203
SPYRIDON ARTAVANIS-TSAKONAS	RICHARD GRANT FEHON	PANAYIOTIS ZAGOURAS
DATE _____, 1993	DATE _____, 1993	DATE _____, 1993
SIGNATURE OF INVENTOR 204	SIGNATURE OF INVENTOR 205	SIGNATURE OF INVENTOR 206
CHRISTINE MARIE BLAUMUELLER		
DATE _____, 1993		